

FORM PTO-1390 (Modified) (REV 11-98)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 99035000
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 09/485734	
INTERNATIONAL APPLICATION NO. PCT/DE98/01178	INTERNATIONAL FILING DATE 24 April 1998	PRIORITY DATE CLAIMED 12 August 1997	
TITLE OF INVENTION Constituting Security Elements with Optical Diffraction Effect and Device for Controlling such Elements			
APPLICANT(S) FOR DO/EO/US Puttkammer			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1). 4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)). 7. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210). 8. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 9. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 10. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). 11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409). 12. <input checked="" type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)). 			
Items 13 to 20 below concern document(s) or information included:			
<ol style="list-style-type: none"> 13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 14. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 15. <input checked="" type="checkbox"/> A FIRST preliminary amendment. 16. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 17. <input type="checkbox"/> A substitute specification. 18. <input type="checkbox"/> A change of power of attorney and/or address letter. 19. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail 20. <input checked="" type="checkbox"/> Other items or information: <ol style="list-style-type: none"> a.) an English Translation of the Specification and Claims Amended under Rule 66 PCT; b.) a Post Card Receipt 			

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<p>21. The following fees are submitted:</p> <p>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</p> <table border="1"> <tr> <td><input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO</td> <td>\$970.00</td> </tr> <tr> <td><input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO</td> <td>\$840.00</td> </tr> <tr> <td><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO</td> <td>\$690.00</td> </tr> <tr> <td><input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)</td> <td>\$670.00</td> </tr> <tr> <td><input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)</td> <td>\$96.00</td> </tr> </table> <p>ENTER APPROPRIATE BASIC FEE AMOUNT = \$840.00</p> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30 \$0.00</p> <table border="1"> <thead> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>22 - 20 =</td> <td>2</td> <td>x \$18.00</td> </tr> <tr> <td>Independent claims</td> <td>2 - 3 =</td> <td>0</td> <td>x \$78.00</td> </tr> <tr> <td colspan="3">Multiple Dependent Claims (check if applicable).</td> <td><input type="checkbox"/> \$0.00</td> </tr> <tr> <td colspan="3">TOTAL OF ABOVE CALCULATIONS</td> <td>\$876.00</td> </tr> <tr> <td colspan="3">Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).</td> <td><input checked="" type="checkbox"/> \$438.00</td> </tr> <tr> <td colspan="3">SUBTOTAL</td> <td>\$438.00</td> </tr> <tr> <td colspan="3">Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30 + \$0.00</td> <td></td> </tr> <tr> <td colspan="3">TOTAL NATIONAL FEE</td> <td>\$438.00</td> </tr> <tr> <td colspan="3">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).</td> <td><input checked="" type="checkbox"/> \$40.00</td> </tr> <tr> <td colspan="3">TOTAL FEES ENCLOSED</td> <td>\$478.00</td> </tr> <tr> <td colspan="3"></td> <td>Amount to be: \$</td> </tr> <tr> <td colspan="3"></td> <td>refunded \$</td> </tr> <tr> <td colspan="3"></td> <td>charged \$</td> </tr> <tr> <td colspan="4"> <p><input checked="" type="checkbox"/> A check in the amount of \$460.00 to cover the above fees is enclosed.</p> <p><input type="checkbox"/> Please charge my Deposit Account No. in the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p><input type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. \$ A duplicate copy of this sheet is enclosed.</p> </td> </tr> <tr> <td colspan="4"> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>LAw Offices of Karl Hormann 86 Sparks Street Cambridge, MA 02138-2216</p> </td> </tr> <tr> <td colspan="4"> <p><i>Karl Hormann</i></p> <p>SIGNATURE</p> <p>Karl Hormann</p> <p>NAME</p> <p>26,470</p> <p>REGISTRATION NUMBER</p> <p>14 February 2000</p> <p>DATE</p> </td> </tr> </tbody></table>				<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO	\$970.00	<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO	\$840.00	<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO	\$690.00	<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)	\$670.00	<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)	\$96.00	CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	22 - 20 =	2	x \$18.00	Independent claims	2 - 3 =	0	x \$78.00	Multiple Dependent Claims (check if applicable).			<input type="checkbox"/> \$0.00	TOTAL OF ABOVE CALCULATIONS			\$876.00	Reduction of 1/2 for filing by small entity, if applicable. 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09/485734
522 Rec'd PCT/PTO 14 FEB 2000

International Application No.: PCT/DE98/01180
International Filing Date: 24 April 1998
Priority Application: DE 197 34 855
Priority Filing Date: 12 August 1997
2. Priority Application: DE 198 12 811
2. Priority Filing Date: 15 March 1998
Inventor: Puttkammer, Frank
For: Structure of a Security Element...

**Specification and Claims as Amended 14 July 1999
in Response to Official Action under Rule 66 PCT**

502 Rec'd PTO 14 FEB 2000

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): **Puttkammer et al.**

Docket No.

990350

Serial No.

Filing Date

Examiner

Group Art Unit

09/485734

14 February 2000

Invention: **Constituting Security Elements with Optical Diffraction Effect and Device for Controlling such Element**

I hereby certify that this **Application to Commence the U.S. NAtional Phase of PCT/DE98/00178**
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on
14 February 2000

(Date)

Karl Hormann

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

35

EJ 6120648US

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